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**IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE**

**PATENT APPLICATION**

**Inventor(s):** Joern Ostermann, et al.

**Docket No.:** 2000-0600B

**Application No.:**

**Filing Date:**

**Examiner Name:**

**Group Art Unit:**

**Title:** System And Method For Sending Multi-Media Messages Using Emoticons

**THE COMMISSIONER FOR PATENTS  
PATENT & TRADEMARK OFFICE  
WASHINGTON, D.C. 20231**

**SIR:**

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08A. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56(b).

- ☒ 1. This information disclosure statement is being filed within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); within three months of the date of the entry of the national stage as set forth in §1.491 in an international application; before the mailing of a first Office action on the merits; or before the mailing of a first Office action after the filing of a request for continued examination under §1.114. No certification or fee is required. (37 C.F.R. §1.97(b)).
- ☐ 2. This information disclosure statement is being filed more than three months after the filing date of a national application other than a continued prosecution application under §1.53(d); more than three months after the date of the entry of the national stage as set forth in §1.491 in an international application, after the mailing date of a first Office action on the merits, or after the mailing of a first Office action after the filing of a request for continued examination under §1.114, but before the mailing date of any of a Final action under §1.113, a Notice of Allowance under §1.311 or an action that otherwise closes prosecution in the application. (37 C.F.R. §1.97(c)).

- ☐ a. I hereby certify that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97 (e)(1)).
- ☐ b. I hereby certify that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to my knowledge after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97 (e)(2)).
- ☐ c. Please debit Deposit Account No. 01-2745 in the amount of \$180.00 to cover the fee under 37 C.F.R. §1.17(p) and to ensure consideration of the disclosed information.
- ☐ 3. This information disclosure statement is being filed after the mailing date of any of a Final action under §1.113, a Notice of Allowance under §1.311, or an action which otherwise closes prosecution, whichever occurs first, but on or before payment of the Issue Fee. (37 C.F.R. §1.97(d)).
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- ☐ c. Please debit Deposit Account No. 01-2745 in the amount of \$180.00 to cover the fee under 37 C.F.R. §1.17(p) and ensure consideration of the disclosed information.

Respectfully,

Date: Nov. 2, 2001

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Substitute for form 1449A/PTO				Complete If Known		10/003350 11/02/01 10/003350 11/02/01
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as (necessary))				Application Number		
				Filing Date		
				First Named Inventor	Joern Ostermann et al	
				Group Art Unit		
				Examiner Name		
Sheet	1	of	2	Attorney Docket Number	2000-0600B	
<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figure Appears
		Number	Kind Code <sup>2</sup> (if known)			
	AA	6,233,544 B1		H. Alshawi	05/15/2001	
	AB	6,195,631 B1		H. Alshawi et al	02/27/2001	
	AC	6,161,082		R. G. Goldberg et al	12/12/2000	
	AD	5,963,217		G. D. Grayson	10/05/1999	
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	AF	6,122,177		M. Kitano	09/19/2000	
	AG	6,173,250 B1		K. Jong	01/09/2001	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figure Appears	T*
		Office*	Number (if known)	Kind Code <sup>2</sup>				
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<sup>1</sup>Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents <sup>3</sup> Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as (necessary))				Applicati n Number	
				Filing Date	
				First Named Invent r	Joern Ostermann et al
				Group Art Unit	
				Examin r Name	
Sheet	2	of	2	Attorney Docket Number	2000-0600B

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article(when appropriate), title of the item(book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AH	"Photo-realistic Talking-heads From Image Samples," by E. Cosatto and H. P. Graf, IEEE Transactions on Multimedia, Sept. 2000, Vol. 2, issue 3, pages 152-163.	<input type="checkbox"/>
	AI	"Audio-Visual Speech Modeling for Continuous Speech Recognition," IEEE Trans. on MultiMedia, Vol. 2, No. 3, Sept. 2000.	<input type="checkbox"/>
	AJ	"TTS Based Very Low Bit Rate Speech Coder, by K-S. Lee and R. V. Cox, Proc. ICASSP 1999, Vol. I, March 1999, pp. 181-184.	<input type="checkbox"/>
	AK	"Emu: An E-mail Preprocessor for Text-to-Speech," by Richard Sproat, Jianying Hu, and Hao Chen, IEEE Signal Processing Society 1998 Workshop on Multimedia Signal Processing, Dec. 7-9, 1998, Los Angeles, CA., USA.	<input type="checkbox"/>
	AL	"Trends of ASR and TTS Applications in Japan," Proc. of International Workshop on Interactive Voice Technology for Telecommunications Applications (IVTTA96), Sept. 1996.	<input type="checkbox"/>

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